CSCL/SEC-3006 (10/20)
Michigan Department of Licensing and Regulatory Affairs
Corporations, Securities & Commercial Licensing Bureau
Securities and Audit Division
P.O. Box 30018, Lansing, MI 48909
Overnight Address: 2407 N. Grand River Ave, Lansing, MI 48906
(517) 335-5237
www.michigan.gov/securities

AUTHORITY: MCL 451.2411, R 451.4.14, R 451.4.17

PENALTY: MCL 451.2412



## STATE OF MICHIGAN INVESTMENT ADVISER SURETY BOND

	IARD No.:	Bond No.:
	Effective Date of Bond:	to December 31,
KNOW ALL MEN	BY THESE PRESENTS, That we	,
as principal, and		lawfully doing business in
	gan, as surety, are held and bound to the STATE OF interested person, in the penal sum of \$	MICHIGAN, for the use
_	for the use and benefit of any interested person, for	· •
Principal and Sur	ety bind themselves jointly and severally, firmly by t	hese presents:

## THE CONDITIONS OF THIS OBLIGATION ARE SUCH THAT,

WHEREAS, the above bound Principal seeks to register or renew a registration from the Administrator ("Administrator") of the Michigan Uniform Securities Act, 2008 PA 551, as amended, MCL 451.2101 et seq, ("Securities Act") to conduct business as an Investment Adviser in the State of Michigan, and whereas the Administrator has required the Principal to post a surety bond in lieu of compliance with the net worth requirements prescribed by R 451.4.14 and R 451.4.17 promulgated under the Securities Act.

NOW, THEREFORE, if the said Principal shall perform and discharge all obligations imposed on the Principal as an Investment Adviser registered under the Securities Act of Michigan and account for all monies and securities coming into its hands for the use and benefit of investors, then this obligation shall be null and void; otherwise to remain in full force and effect. PROVIDED, HOWEVER, UPON THE FOLLOWING EXPRESS CONDITIONS: That every person having a claim for relief under the Securities Act of Michigan as amended, may initiate suit in any court of competent jurisdiction against the Principal and/or the surety of this bond. No suit shall be maintained to enforce liability on this bond unless brought within the applicable statute of repose or limitation.

PROVIDED, FU	RTHER that the obligati	ion on thi	s bond shall commence on t	the
	day of	,	, and that the Surety sh	all have the right to
written notice of		e Surety	ll and the Administrator of shall not be discharged from	<u> </u>
DATED this	day of		,	
		Ву		
		J	Signature of Principal	Date
			Print Name	Title of Principal
		Ву		
			Signature of Surety	Date
			Print Name	Title of Surety

**SEAL OF SURETY** (Place seal in the space above)

Email the completed surety bond to lara-cscl-securities-audit@michigan.gov.

\*\*The surety bond shall be renewed and adjusted annually on December 31, and new evidence of surety shall be filed with the Department.\*\*

## **SURETY BOND CHECKLIST**

☐ The surety bond shall be renewed and adjusted annually on December 31, and new evidence of surety shall be filed with the Department.
$\square$ All blanks must be completed.
$\hfill \square$ Surety bond or rider must be payable to the State of Michigan.
$\hfill\Box$ The exact legal name of the entity should be provided.
$\square$ Amount of bond is provided.
$\Box$ Date surety bond is provided.
$\hfill\Box$ Signature and typed name of Principal is provided.
$\hfill\Box$ Signature and typed name of Surety is provided.
$\hfill\Box$ Seal is stamped on the space provided.
☐ Email the <u>completed</u> surety bond to LARA at <u>lara-cscl-securities-audit@michigan.gov</u> . Although not required, if you wish you may also mail the original completed surety bond, please send to PO Box 30018, Lansing, MI 48909.